

SAFETY SELF-ASSESSMENT GUIDANCE

Enhancing Risk Mitigation, Mishap Prevention & Continuous Improvement

Introduction to Self-Assessments

Over the last several years, Navy and Marine Corps have had some success at reducing the number of mishaps that occur each year. Much of the reduction has taken place in ashore workplaces and in the off-duty, recreational and motor vehicle arenas. This Series will provide an overview of a self-assessment (SA) process that can be tailored to the mission and environment for each individual command and will assist us in reaching the next level in risk management and mishap prevention.

Command safety self-assessments are essential to continuous improvement in hazard identification, risk mitigation and ultimately mishap reduction; thereby enhancing mission readiness. Maximizing the effectiveness of the SA process requires the participation of personnel at all levels in the organization including senior leadership, process owners, and deck-plate operators, as well as the safety staff or BOS safety provider. A thorough SA requires in-depth reviews of not only safety programs, but also the operations, processes, operating procedures and environments with the potential to cause personal injury, materiel damage or mission failure.

Top level management must be involved as they are the individuals who have the greatest influence on resource allocation and have the authority to make high level risk management decisions and to direct corrective actions. The ultimate goal of the self-assessment is to identify and prioritize deficiencies, develop corrective actions, establish timelines and track completion.

DoN Safety Vision - Seven Key Areas

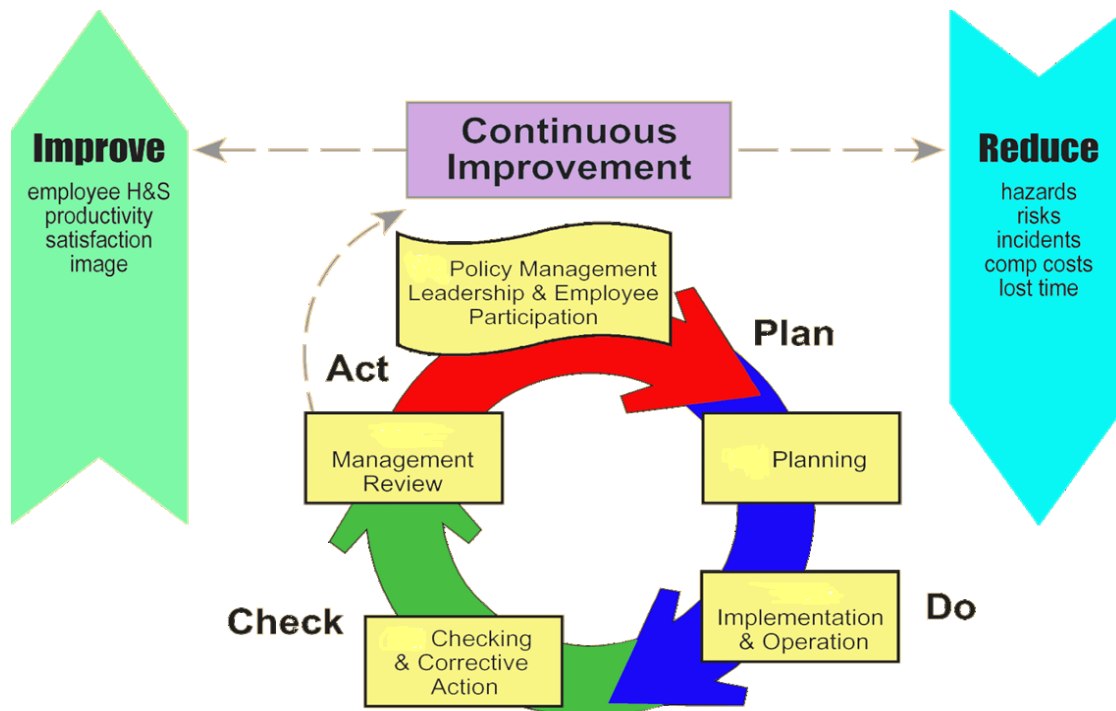
- Integrate safety into all on- and off-duty activities, work processes, and weapon system designs to enhance mission readiness, capability, and accomplishment.
- Imbed safety culture into the total force (military, civilians, and contractors), with accountability and involvement at all levels, through the adoption of a Safety Management System.
- Facilitate continuous improvement in safety performance by managing hazards, mitigating risk, and implementing actions to reduce mishaps, through the use of annual safety program self-assessments.
- Maintain effective safety monitoring and performance measuring systems that support senior leadership and unit-specific metrics, data analysis for root causes and development of mitigation strategies.
- Employ new technology and the latest management tools to facilitate individual and unit safety awareness and ownership.
- Aggressively and transparently communicate safety successes, share hazard awareness and share near-miss lessons learned.
- Enable safety performance by developing and maintaining a workforce of talented and skilled safety personnel, both military and civilian, that supports the seamless integration of safety into all work processes, products, and operations.

Mishap Reduction Goals – Guidance from NAVADMIN 048/10

- 75% mishap reduction based on the 2002 baseline year for military injuries and civilian lost work days, private motor vehicle fatalities, and aviation Class A mishaps.
- Work to reduce other mission specific mishaps.
- Support mishap reduction efforts by investigating and reporting Class A, B, and C mishaps.
- Conduct detailed analysis and develop improvement strategies to reduce mishaps.

Safety Management

Effective safety management will facilitate continuous improvement in safety performance by managing hazards, mitigating risk and implementing actions to reduce mishaps. This continuous improvement cycle follows the Plan-Do-Check-Act process depicted in the figure below. Reducing the extent and severity of work related injuries and illnesses and materiel losses will ultimately result in improved readiness and increase an organization's operational performance. As underscored in the DoN Safety Vision, command focus should be on integrating safety into all processes and leadership levels; effective, timely hazard abatement; effective monitoring; and continuous improvement. An effective safety management system should include elements which blend smoothly with the Navy Safety Vision. These elements are: a). management leadership and employee involvement, b). worksite analysis, c). hazard prevention & control, d). safety & health training, and e). mishap reporting. During the self assessment process, units should consider these elements and the Navy Safety Vision as they evaluate their program.



(Figure from the ANSI Z-10, Copyright Protected)

Keys to an Effective Self-Assessment

The self-assessment process is a detailed evaluation of the safety programs and mission specific risks and hazards that will directly affect the safety of the command. Whether it is an administrative office, a ship, an aviation squadron or a maintenance facility, each command must conduct a thorough self-assessment to identify strengths, weaknesses, and opportunities for mishap reduction. Listed below are four keys for conducting effective self-assessments:

- **Leadership:** Promoting change requires commitment from leaders and participation from employees. Both parties play a vital role in creating, implementing, and maintaining a successful safety program. Seamless integration of safety management policies and principles, strategic objectives, informed decisions, and an engaged workforce promote a safety climate for sustainment in the long term. Effective two-way communication between management and the work force is the key to overcoming challenges and providing incentives and opportunities for personnel while fostering an ownership mindset throughout the organization.
- **Command directed:** While external inspections and surveys may be useful tools for this process, the self-assessment should be conducted internally to evaluate the safety programs applicable to the command. Using tools and resources available, staff can define organizational performance measurements and use data analysis and trending to enhance operational readiness and mission success.
- **Mission specific:** Each command has tasks, operations, and missions that create specific risks and hazards for personnel and equipment. They also have specific processes, monitoring techniques, etc. which are used to control and manage the risks and hazards (Operational Risk Management). By tracking leading indicators of effective risk control (e.g. consistent use of certain checklists or speed of hazard abatement) and thoroughly investigating and reporting mishaps (trailing indicator), commands will be able to develop techniques and strategies to minimize and reduce future risks.
- **Goal oriented:** The outcome of the self-assessment will be an evaluation of the current safety programs and, more importantly, the development of planned goals and objectives to improve these programs. Metrics should be established to evaluate leading and lagging indicators; activity or progress; and the process toward sustainability and outcome. These goals and objectives must be quantifiable, command supported, and effectively communicated to all personnel and monitored regularly to help drive command performance. An action or improvement plan is another tool to track, manage, and display short-term and/or long-term safety efforts, successes and challenges.

Annual Self-Assessment Summary Reporting Requirements

Per NAVADMIN 048/10 all commands/units shall implement the DON Safety Vision and incorporate it into their annual safety SA process which shall be completed by 31

December of each year. (Note: Activities that possess or are seeking VPP certification and use a calendar vice fiscal year evaluation interval shall submit their self-assessment package by 15 February of the following year). The following information is required to be rolled up at each command/unit level in the chain of command up to the echelon 3 commands: top five areas of concern, successes, and opportunities for program improvement. Echelon 3 commands shall consolidate subordinate submissions and forward their reports to echelon 2 commands no later than 15 March of each calendar year. Echelon 2 commands will forward a report to the Navy Executive Safety Committee no later than 1 May of each calendar year. These reporting requirements will also be included in the next release of both the OPNAVINST 5100.19 and OPNAVINST 5100.23 series.

Listed below are examples of items that can be included under the required information elements:

- Top Five Areas of Concern:
 - Unique to the Unit
 - Mission-Centric or Cross-Functional
 - Operational
 - Administration
 - Safety/Occupational Health
 - Maintenance
 - Enterprise Focused
 - A Work Process
 - Safety Communication Difficulties
 - Roadblocks to Successful Mishap Prevention Efforts
 - Manning or Expertise Limitations
 - Other Resource Limitations
 - Specific Safety Program Implementation (e.g., confined space entry, workplace inspections, hazard abatement, etc.)
 - Lack of Well-Defined Leading Indicators
 - Near Miss Data
 - Safety Perception Survey Results
 - Not Assessing or Trending Performance Measurements
 - Training Attendance
 - Competency Scores
 - Pareto Analysis of Incident Contributing Factors
 - Not Tailoring to Mission
 - Safety Committees/Councils/Teams Involvement
 - Drills – Timeliness and Effectiveness
 - Poor Accountability
 - Supervisor Deficiency Closeout Metrics
 - Overdue Abatement Actions
- Successes:
 - Completed Improvement Plans
 - Positive Customer Feedback
 - Incentive Programs for Safety
 - Equipment Enhancements or Procurement
 - Best Practices
 - Staffing (e.g., trained confined space program manager, etc.)

- Utilization of Outside Resources (Ergonomics)
 - Hazard Abatement
- Opportunities for Program Improvement:
 - Removal of roadblocks
 - Innovative ideas

Suggested Annual Timelines

- October Annually
 - Establish Command SA Schedule
 - Communicate SA Policy and Unit Goals
- 1 October - 30 September
 - Collect Data and Trend
 - Conduct Safety Program Reviews
 - Monitor Performance Metrics
- 1 October – 30 November
 - Identify Gaps
 - Create Action or Improvement Plan
 - Draft Annual Summary Report
 - Submit for Chain of Command Review
- 31 December
 - Submit Annual Self-Assessment Report to ISIC
 - Provide Feedback to Unit Personnel

Aviation Tools for Self-Assessment

- Examples of data collection tools, systems, and methods for use by unit (this list is not intended to be all inclusive):
 - Operational Risk Management (ORM) Program Assessment
 - Navy Safety and Occupational Health (SOH) Inspections
 - Industrial Hygiene (IH) Surveys
 - Safety Surveys
 - Culture Workshops
 - Aviation Safety Analysis Program (ASAP)
 - Aviation Maintenance Inspection (AMI)
 - Climate Safety Assessment (CSA)
 - Maintenance Climate Assessment Survey (MCAS)
 - NATOPS and SAR Evaluations
 - Hazard Reports
 - Mishap Reports
 - Things Falling Off Aircraft (TFOAs) Messages, Hazardous Material Reports (HMR), Quality Deficiency Reports (QDRs)
 - Human Factors Councils
 - System Safety Working Groups

- Suggested vehicle for fulfilling the requirement:
 - Command Safety Council
 - Inputs from All Departments
 - Inputs from Safety Committee
- Execution considerations:
 - Top 5 and other assessment items should be integrated from SOH, Operations, Maintenance, Administration, Safety, etc.
 - Wings with more than one type/model/series should consider collating by T/M/S or by mission.
 - Wings should provide compiled trend analysis/feedback on common concerns back to units.

Afloat Tools for Self-Assessment

- Examples of data collection tools, systems, and methods for use by unit (this list is not intended to be all inclusive):
 - Operational Risk Management (ORM) Program Assessment
 - TYCOM Inspections (e.g., medical readiness, supply managements, etc.)
 - Navy Safety and Occupational Health (SOH) Inspections
 - Annual SOH Program Reviews
 - Industrial Hygiene (IH) Surveys
 - Safety Surveys
 - INSURV Inspections
 - NATOPS and SAR Evaluation
 - WESS Hazard Reports
 - WESS Mishap Reports or Messages
 - Safety Survey Checklists at <http://www.public.navy.mil/navsafecen>
 - Unit Zone Inspections
 - Ship Division in the Spotlight Inspections
 - OPNAVINST 5100.19 Series Checklists
 - Afloat Training Group (ATG) Afloat Self-Assessment Checklists at <http://www.atg.surfor.navy.mil>
 - INSURV Checklists at <http://www.public.navy.mil/usff/insurv>
 - CASREP Reviews
 - Mishap Data Analysis
 - Hazard Abatement Program

Ashore Tools for Self-Assessment

- Examples of data collection tools, systems, and methods for use by unit (this list is not intended to be all inclusive):
 - Operational Risk Management (ORM) Program Assessment
 - Inspector General Visits/Findings

- Headquarters Oversight Inspections/Findings
- Region Inspections
- BOS Services
- High Risk Training Checklists and Assist Visits
- Navy Safety and Occupational Health (SOH) Inspections
- Industrial Hygiene (IH) Surveys
- WESS Hazard Reports
- WESS Mishap Reports
- Enterprise Safety Applications Management System (ESAMS)
- OPNAVINST 5100.23 Series
 - PR&MS
 - Checklists
- OSHA Voluntary Protection Programs (VPP) Evaluation Elements and Gap Analysis
- Traffic Safety
 - TRIPS
 - Traffic Safety Checklist at <http://www.public.navy.mil/navsafecen>
- Personal Firearms
- Recreational Off-Duty Checklists
- Motorcycle Census
- Mishap Data Analysis
- Hazard Abatement Program

Operational or Support Missions

Many commands/units involve various combinations of operational and support tasks, requirements, and demands. Therefore, safety prevention efforts can cross multiple enterprises and leadership's awareness of broad cross-functional requirements is a must. Combining the available tools listed above and tailoring them to the specific needs of the command will enhance mishap reduction efforts and overall safety management success.

NSC Resources

- Safety Surveys
- Safety Checklists
- Culture Workshop
- WESS Data
- Diverse Technical Expertise
- Operational Research
- Archived Mishap Investigation Results
- Lessons Learned
- Marketing Strategies
- Instruction Interpretations
- On-Site Gap Analysis
- Partnerships with Private Industry

REFERENCES

- OPNAVINSTS:
 - 5100.19 (series) Navy Safety and Occupational Health (SOH) Program Manual for Forces Afloat
 - 5100.23 (series) Navy Safety and Occupational Health (SOH) Program Manual
 - 3500.39 (series) Operational Risk Management
 - 3750.6 (series) Naval Aviation Safety Program
 - 5100.25 (series) Navy Recreation and Off-Duty Safety Program
 - 5102.1 (series) Navy and Marine Corps Mishap and Safety Investigation, Reporting, and Record Keeping Manual
 - 5100.12 (series) Navy Traffic Safety Program
 - 1500.75 (series) Policy and Procedures for Conducting High-Risk Training
 - 5530.14 (series) Navy Physical Security and Law Enforcement Program
- ANSI Z-10 Occupational Health and Safety Management Systems
- OSHA:
 - 29 CFR 1910 Occupational Safety and Health Standards
 - 29 CFR 1915 Occupational Safety and Health Standards for Shipyard Employment
 - 29 CFR 1926 Safety and Health Regulations for Construction
 - CSP 03-01-003 Voluntary Protection Programs (VPP): Policies and Procedures Manual
- NAVADMIN 048/10 Navy Implementation and Oversight Plan for the Department of the Navy Safety Vision and Secretary of Defense Mishap Reduction Goals
- Local Instructions